

Guadalupe-Coyote Resource Conservation District (GCRC D)

Records Retention Policy

I. GENERAL PROVISIONS

Governance. The Board of Directors (“Board”) for the Guadalupe-Coyote Resource Conservation District (“District”) consists of five members (“Director”) of the Board. As the governing body of the District, the Board reviews and approves District policies. The Board has delegated responsibility for policy administration to the District’s Executive Director (“ED”), including but not limited to the development of procedures and internal controls to implement the policies.

Purpose of the Policy. The purpose of this policy is to provide guidance to staff regarding the retention and disposal of District records; provide for the identification, maintenance, safeguarding, or disposal of records in the normal course of business; ensure prompt and accurate retrieval of records, and ensure compliance with legal and regulatory requirements.

Policy Revisions. The Board reviews District policies annually. Any Director or the ED may make recommendations for changes to a policy at any time, but all policy changes require approval by the Board.

Statement of Non-Discrimination. The District contracts on a non-discriminatory basis, without regard to race, creed, color, national origin, ancestry, sexual orientation, political affiliation or beliefs, sex, age, physical handicap, medical condition, marital status or pregnancy (as those terms are defined by the California Fair Employment and Housing Act -- Government Code Section 12900-12996). Additionally, the Board has adopted a Statement of Diversity, Equity and Inclusion to ensure diversity and environmental justice are key components of the District’s strategic planning and programmatic work.

II. RESPONSIBILITY

Authorization. Members of the District must receive prior written authorization from the ED and consent from the District Counsel before the disposal of any District record. (Gov. Code § 60200 et seq.)

Records Management. The District Clerk is responsible for preparing District records designated for storage and not needed for current use in a manner that will facilitate future retrieval and/or destruction, and permanently retaining a master log of all destroyed obsolete documents which includes the titles or brief descriptions of the purged files that were destroyed, the method of destruction and the date of destruction.

Stored records shall be clearly marked with their contents and their scheduled destruction dates. An inventory of records in storage will be maintained at the main office for those records that are stored offsite to facilitate retrieval and/or destruction.

Applicability. All Directors, Associate Directors, Contractors, Volunteers and Other Representatives of the District are responsible for abiding by this policy.

III. GENERAL GUIDELINES

The following general guidelines apply to all District records.

- A. The Board hereby authorizes the disposal of any duplicate record, paper or document where the original or permanent photographic record is retained in accordance with this policy. (Gov. Code § 60200 *et seq.*)
- B. Except where a record is expressly required to be preserved according to federal or California law, the Board may approve the disposal of any original document without the District retaining a copy of the document as long as the retention and disposal of the document complies with the retention schedule as set forth in this policy. (Gov. Code § 60201.)
- C. In addition to the retention period required under this policy, the District shall retain original administrative, legal, fiscal and/or historical records with continued value (i.e., records for long-term transactions and/or special projects) until all matters pertaining to such records are completely resolved or the time for appeals has expired. (Gov. Code § 34090.)
- D. Pursuant to Government Code § 60201, the District shall not dispose of any of the following records:
 1. Relates to formation, change of organization, or reorganization of the district.
 2. An ordinance adopted by the district. However, an ordinance that has been repealed or is otherwise invalid or unenforceable may be destroyed or disposed of pursuant to this section five years after it was repealed or became invalid or unenforceable.
 3. Minutes of any meeting of the legislative body of the district.
 4. Relates to any pending claim or litigation or any settlement or other disposition of litigation within the past two years.
 5. Is the subject of any pending request made pursuant to the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1), whether or not the district maintains that the record is exempt from disclosure, until the request has been granted or two years have elapsed since the district provided written notice to the requester that the request has been denied.
 6. Relates to any pending construction that the district has not accepted or as to which a stop notice claim legally may be presented.
 7. Relates to any nondischarged debt of the district.
 8. Relates to the title to real property in which the district has an interest.
 9. Relates to any nondischarged contract to which the district is a party.

10. Has not fulfilled the administrative, fiscal, or legal purpose for which it was created or received.
 11. Is an unaccepted bid or proposal, which is less than two years old, for the construction or installation of any building, structure, or other public work.
 12. Specifies the amount of compensation paid to district employees or officers or to independent contractors providing personal or professional services to the district, or relates to expense reimbursement to district officers or employees or to the use of district paid credit cards or any travel compensation mechanism. However, a record described in this paragraph may be destroyed or disposed of pursuant to this section seven years after the date of payment.
- E. The recording, storing, and reproducing of permanent and nonpermanent documents or records in electronic media, shall conform with the minimum standards set forth in the California Secretary of State's "Trustworthy Electronic Document or Record Preservation" regulations. (2 CCR §§ 22620.1 et seq.)
 - F. In addition to any required legal retention period, the District shall retain original records with a lasting historical, administrative, legal, fiscal, or research value.
 - G. The District may destroy, at any time, rough drafts, notes, working papers (except for audits) that are not retained by the District in the ordinary course of business, including temporary or transitory documents used only for controlling the flow of work (e.g., "Post-it" notes) because such documents are not records.

IV. SPECIFIC GUIDELINES

The following information should be used in conjunction with the District Records Retention Schedule that is attached hereto and incorporated herein as Exhibit "A" ("District Records Retention Schedule").

- A. Accounting records.
 1. Accounting records include, but are not limited to, the following:
 - (a) Source documents
 - Invoices
 - Warrants
 - Vouchers
 - Requisitions/purchase orders (attached to invoices)
 - Cash receipts
 - Claims (attached to warrants in place of invoices)
 - Bank statements
 - Bank deposits
 - eChecks
 - eBills
 - Various accounting authorizations taken from District minutes, resolutions or contracts
 - (b) Journals
 - Cash receipts

- Accounts receivable or payable register
 - Check or warrant register
 - General journal
 - Payroll journal
- (c) Ledgers
- Expenditure
 - Revenue
 - Accounts payable or receivable ledger
 - Assets/depreciation
 - Warrants payable
 - Construction
 - General ledger
- (d) Trial balance
- (e) Adjusting entries
- (f) Statements (interim or certified - individual or all fund)
- Balance sheet
 - Analysis of changes in available fund balance
 - Cash receipts and disbursements
 - Inventory of fixed assets (purchasing)
- (g) Payroll and personnel records including, but not limited to, the following:
- Accident reports, injury claims and settlements
 - Applications, changes or terminations of employees
 - Earnings records and summaries
 - Fidelity bonds garnishments
 - Insurance records of employees
 - Job descriptions
 - Medical histories
 - Retirements
 - Time cards
- (h) Other
- Inventory records (purchasing)
 - Capital asset records (purchasing)
 - Depreciation schedule
 - Cost accounting records
2. The District shall retain original accounting records for four (4) years for state funds or seven (7) years for federal funds, unless otherwise required by Exhibit "B." After that, the District may dispose of original accounting records, except journals, ledgers, and statements, if:
- (a) There is no continuing need for the record (i.e., long-term transactions, special projects, pending litigation, etc.).
- (b) There exists in a permanent file an audit report(s) covering the inclusive period of the record.
- (c) The audit report(s) meet(s) the requirements of California Government

Code section 26909, and other federal and California laws; and
(d) The audit(s) contain(s) the expression of an unqualified opinion.

3. The District may dispose of the original journals, ledgers, and statements after five (5) years if it retains imaged copies (i.e., microfilm, microfiche, digital copies, etc.).
4. The District may dispose of rough drafts, notes, working papers (except those pertaining to audits), cards, listings, nonpermanent indices, and papers used for controlling work or transitory files at any time.
5. In addition to any required legal retention period, the District shall not authorize the disposal of any record subject to audit until the audit has been performed. (Gov. Code § 34090.)

B. Long-term debt records.

1. The District may dispose of the original records of proceedings for the authorization of long-term debt, bonds, warrants, loans, etc., after issuance or execution, if it retains imaged copies (i.e., microfilm, microfiche, digital copies, etc.). (Gov. Code § 60203.)
2. The District may dispose of the original records of the terms and conditions of bonds, warrants and other long-term agreements after final payment, if it retains imaged copies (i.e., microfilm, microfiche, digital copies, etc.).
3. The District may dispose of paid bonds, warrant certificates and interest coupons after two (2) years, if detailed payment records are retained for ten (10) years.
4. The District may not dispose of documents relating to any nondischarged debt. (Gov. Code § 60201(d)(7).)

C. Original records.

1. The District shall retain original board-approved records of the minutes of any meeting of the District indefinitely. Audio recordings of any meeting of the District shall be retained for 90 days. Audio recordings may be retained in any format at the District's sole discretion. (Gov. Code §§ 34090; 60201.)
2. The District shall retain original resolutions adopted by the District indefinitely. (Gov. Code § 60201.)

D. Statements and reports filed pursuant to the Political Reform Act.

1. Filing officers shall retain original campaign statements and reports for seven (7) years. (Gov. Code § 81009(c), (e).)
2. Filing officers shall retain copies of statements or reports for four (4) years. The officer does not have to keep more than one copy of a statement or report. (Gov. Code § 81009(f).)

E. Contracts.

1. The District shall retain original contracts for five (5) years after the termination of the contracts. (Code of Civ. Proc. § 337.2.)
2. The District shall not dispose of contracts with any person or entity that develops real property or furnishes the design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement. (Gov. Code § 34090.)

- F. Property records. The District shall retain original property records, such as title documents, indefinitely, or until the property is transferred or otherwise no longer owned by the District. (Gov. Code § 34090(a).)
- G. Payroll and personnel records.
1. Payroll and personnel records include, but are not limited to, the following:
 - (a) Accident reports, injury claims and settlements
 - (b) Medical histories
 - (c) Injury frequency charts
 - (d) Applications, changes and terminations of employees
 - (e) Insurance records of employees
 - (f) Time cards
 - (g) Job descriptions
 - (h) Performance or rating documents
 - (i) Earning records and summaries
 2. The District shall retain personnel files for three (3) years after an individual's employment terminates. (29 C.F.R. § 1627.3.)
 3. The District shall retain medical records of employees for thirty (30) years from the date of termination of employment. Medical records shall include health insurance claims, records of exposure to hazardous substances, first aid records for one-time treatment, observation of minor injuries, records relating to medical leave taken by employees, etc. However, for employees who are employed by the District for less than one (1) year, the District need not retain the employee's medical records if the District provides the employee with such records upon termination of employment. (29 C.F.R. § 1910.1020; 8 CCR § 3204.)
 4. The District may dispose of fidelity bonds and garnishments two (2) years from the employee's date of termination.
 5. The District shall retain payroll records containing the name, address, date of birth, sex, job classification, hours worked, and regular and overtime wages for each employee for three (3) years after termination of employment. (29 C.F.R. § 516.2; Gov. Code § 34090.)
 6. The District shall retain basic time and earning cards or sheets on which are entered daily starting and stopping time of individual employees until six (6) years after an audit. (29 C.F.R. § 516.2; Gov. Code § 34090.)
 7. The District shall retain employment applications and employment referral records and files for two (2) years after such records or files are created. (Gov. Code § 12946.)
 8. The District shall retain records regarding the race, sex, and national origin of each applicant and for the job for which such applicant applied for two (2) years from the date of the mailing of the record or the date of the personnel action involved, whichever occurs later. The District may either retain the original documents used to identify applicants, or keep statistical summaries of the collected information. (2 CCR § 11013.)
 9. The District shall retain any records pertaining to any payments, loans,

promises or agreements by the District to any labor organization or representative of a labor organization for five (5) years. (29 U.S.C. § 436.)

H. Construction and engineering records.

1. The District may not dispose of original construction records for capital improvements, including bids, correspondence, and change orders. The District shall retain as-built plans for any public facility or works, as long as the facility exists.
2. The District may dispose of unaccepted bids or proposals for public works projects after two (2) years. (Gov. Code § 34090.)

I. Exposure/safety records and material safety data sheets (MSDS).

1. The District shall retain employee exposure records and exposure assessment records for thirty (30) years after termination of employment. Such records should reveal the identity of the toxic substance or harmful physical agent and where and when such substance or agent was used. (29 C.F.R. 1910.1020; 8 CCR § 3204; Gov. Code § 6254(c).)
2. The District may dispose of the material safety data sheet (MSDS) for a hazardous substance after the District stops using the hazardous substance provided it keeps a record of the substance (chemical name if known) and when and where it was used for thirty (30) years after termination of employment. (Cal. Code Regs., tit 8, § 3204(d)(I)(B)(2).)

J. Video monitoring, telephone and radio communications; other video and audio recordings

1. The District shall retain recordings of routine video monitoring (e.g., building security taping systems) for at least one (1) year. After the one (1) year retention period, the District may dispose of the video recording upon approval by the District. (Gov. Code § 34090.6.)
2. Recordings of telephone and radio communications maintained by the District may be disposed of after one hundred (100) days. (Gov. Code § 34090.6.)
3. If the District keeps another record, such as written minutes, of an event that is recorded on video tape (e.g., District meetings), the District must keep the video tape recording of the event for at least thirty (30) days after the occurrence of the event. After ninety (90) days, the video tape may be disposed of or erased. (Gov. Code § 34090.7.)
4. Notwithstanding Section III(A)(4)(c) and Section IV(C)(I) above, when an audio tape recording of a meeting is made solely to facilitate the preparation of minutes for that meeting, the tape recording may be disposed of or erased after it is no longer required and after the minutes for that meeting have been approved. (Gov. Code § 34090.)
5. Other audio or video tape recordings which are not related to the conduct of the public's business (e.g., educational or promotional videos) are not considered official District records and may be disposed of after they are no longer required. (Gov. Code § 6252(e).)

V. RECORDS RETENTION SCHEDULE

The “District Records Retention Schedule” is attached hereto and incorporated herein as Exhibit “A” (“Retention Schedule”). The Retention Schedule is intended to be a guideline and is not intended to provide an all-inclusive listing of potential documents.

VI. CHANGES IN STATE AND FEDERAL LAW

As a result of changes to federal and California laws that regulate municipal records retention, the Records Retention Policy and Retention Schedule shall be updated to ensure compliance with legal and regulatory requirements. The Records Retention Policy and Retention Schedule shall be retained, and remain in force until they are replaced by an adopted revision.

Policy Change Log:

Date	Action
08/11/2020	Board adopted policy.

EXHIBIT A DISTRICT RECORDS RETENTION SCHEDULE

Legal Authority Abbreviations:

CCP Code of Civil Procedure

CCR California Code of Regulations

CFR Code of Federal Regulations

FC Financial Code

GC Government Code

H&S Health & Safety Code

IRS Internal Revenue Service

LC Labor Code

PC Penal Code

Disposal of any record must be authorized in writing by the Executive Director, with written consent from District Legal Counsel. (GC § 60200 et seq.). Unless otherwise noted, years are in addition to the current year.

Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Accident/Illness Reports/ Medical Records	Administration	Not a public record Employee Medical Records & Employee Exposure Records – includes Material Safety Data Sheets (MSDS)	8 CCR 14307 8 CCR 3204 GC 6254(c)	Termination of employment + 30 years
Accidents/Damage to District Property	Administration	Risk management administration	GC 34090 CCP 337.15	10 years
Accounts Payable	Finance	Journals, statements, asset inventories, account postings with supporting documents, vouchers, invoices, reports, investments, purchase orders	GC 34090 CCP 337	Until audited + 4 years
Accounts Receivable	Finance	Checks received, reports, investments, receipt books	GC 34090 CCP 337	Until audited + 4 years
Affidavits of Publication/Posting	Administration	Public notices for public hearings, publication of ordinances, etc.	GC 34090 CCP 343	4 years
Agenda/Agenda Packets	Administration	Agendas and packets should be imaged immediately. A paper copy should be maintained for one year only.	GC 34090 GC34090.5	2 years

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Agenda reports (staff reports)	Administration	Paper copies of agenda reports should be maintained for 1 year as complete packets. Originals should be imaged immediately. The filmed record may serve as the permanent record.	GC 34090(d) GC 34090.5	2 years
Agreements & Contracts – Non-Capital Improvement	Administration	Original contracts and agreements and back- up materials, including leases, excluding capital improvement projects	CCP 337 CCP 337.2	Terminated/ Completed +5 years
Agreements & Contracts – Capital Improvements	Administration	Construction contracts and agreements (in paper format or is imaged acceptable for the permanent retention period? I have this same question for all types of records listed where it does not specify paper or scanned images. Managing all of these records becomes easier if we can go paperless where possible)	GC 4004 H&S 19850	Permanent
Annexations/Reorganizations	Development	Notices, Resolutions, Certificates of Completion	GC 34090 GC 60201(d)(1)	Permanent
Appraisals	Development	For real property owned by District – Not a public record until real estate transaction is complete	GC 34090 GC 6254(h)	Closed/Completed + 2 years
Articles of Incorporation	Administration		GC 34090 GC 60201	Permanent
Audit Hearing or Review	Finance	Documentation created and/or received in connection with an audit hearing or review	GC 34090	Until audited + 2 years
Backflow Test Reports	Public Works	Reports of testing and maintenance – water supply	17 CCR 7605	3 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Bank Account Reconciliations	Finance	Bank statements, canceled checks, certificates of deposit	GC 34090 CCP 337 26 CFR 31.6001-1(e)(2)	Until audited + 5 years
Benchmark Data	Development	Horizontal, vertical & control	GC 34090(d)	2 years
Bids: Accepted	Development	Includes plan, specifications, notices, affidavits	GC 34090 CCP 337, 337.1	4 years
Bids: Unaccepted	Development	Unaccepted bid packages only	GC 34090 GC 60201	Closed/Completed + 2 years
Billing Records	Finance	Utility bill stubs – submitted with payment	GC 34090	2 years
Bonds	Finance	Authorization/public hearing records/prospectus/proposals/certificates/notices transcripts) /registers/ statements	GC 34090	Permanent
Bonds – Employee	Finance	Personnel fidelity bonds	GC 34090	Termination of employment + 2 years
Bonds – Paid/Cancelled	Finance	Paid or cancelled bonds; warrant certificates; interest coupons	GC 34090 GC 53921	2 years
Bonds – Unsold	Finance	Unsold Bonds	GC 34090 GC 43900 et seq.	2 years
Bonds – Final	Finance	Final bond of documentation; monthly statement of transactions; supporting documents	GC 34090 CCP 337.5	Closed/Completed + 10 years
Bonds – Development	Finance	Housing; Industrial Development	CCP 337.5	Closed/Completed + 10 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Bonds – Surety	Finance	Documentation created and/or received in connection with the performance of work/services for the District	CCP 337	Closed/Completed + 2 years
Brochures/Publications	Administration	Retain selected documents only for historic value	GC 34090	Until superseded + 2 years
Budget, Annual	Finance	Adjustments, journal entries, account transfers	GC 34090	Until audited + 2 years
Cal-OSHA	Administration	Personnel-Logs, Supplementary Record, Annual Summary (Federal & State-Cal OSHA)	LC 6410	5 years
CA Ground Water Corrective Actions	Public Health & Safety	Documentation of corrective actions	22 CCR 64430	10 years
California State Tax Records	Finance	Forms filed annually; quarterly and year-end reports	GC 34090 29 USC 436	Until audited + 4 years
Capital Improvements, Construction	Public Works	Records on planning, design, construction, conversion or modification of local government-owned facilities, structures and systems	GC 34090(a) GC 4004 H&S 19850	Permanent
Certified Payroll	Public Works	Copy of Certified Payroll Report as required by the Dept. of Industrial Relations	GC 34090 CCP 337	Until audited + 5 years
Checks	Finance	Includes payroll, canceled and voided checks	GC 34090 CCP 337	Until audited + 5 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Claims Against the District	Administration	Paid/Denied	GC 34090 GC 25105.5	Until settled + 5 years (can image after 3 years)
Collective Bargaining Agreements	Administration		29 CFR 516.5	3 years
Complaints/Requests	Administration	Various files, not related to specific lawsuits involving the District and not otherwise specifically covered by the retention schedule	GC 34090	2 years
Comprehensive Annual Financial Report (CAFR)	Finance	Financial services; internal and/or external reports; independent auditor report	GC 34090	Permanent
Correspondence/Emails	Administration	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule	GC 34090(d)	2 years
Deeds, Real Property	Development	File with recorded documents; originals may not be destroyed	GC 34090	Permanent
Deferred Compensation Reports	Finance	Finance – pension/retirement funds	GC 34090 26 CFR 1627.3 (2)	3 years
Demographic/Statistical Data	Administration		GC 34090	2 years
Deposits, Receipts	Finance	Checks, coins, currency	GC 34090 CCP 337	Until audited + 4 years
DMV Driver Information Reports	Administration	Personnel – Not a public record	GC 12946 GC 6254(c)	Closed/ Completed + 7 years
Easement, Real Property	Development	File with recorded documents; original may not be destroyed	GC 34090	Permanent

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Economic Interest Statements – Form 700 (copies)	Administration	Copies of statements forwarded to Fair Political Practices Commission	GC 81009(f), (g)	4 years (can image after 2 years)
Economic Interest Statements – Form 700 (originals): Not Elected	Administration	Originals of statements of designated employees	GC 81009(e), (g)	Termination of employment + 7 years (can image after 2 years)
Economic Interest Statements – Form 700 (originals): Elected	Administration	FPPC filings	GC 81009(b)	Election date + 5 years
Election – Administrative Documents	Administration	History of elections, sample ballots, certificates of destruction, other resolutions. Not ballot cards or absentee voter lists/applications	GC 34090	Permanent
Election – Affidavit Index	Administration	Voter registration index	EC 17001	5 years
Election – Ballots and Related Documents	Administration	STATE & LOCAL ELECTIONS: All ballot cards (voted, spoiled, canceled) arranged by precinct, unused absentee ballots, ballot receipts, absentee voter applications. May be destroyed subject to any pending contest.	EC 17302 EC 17306 EC 17505	Election date + 6 months
Election – Ballots and identification envelope: Federal offices	Administration	For election to Federal office (President, Vice President, US Senator, US Representative)	EC 17301	Election date + 22 months
Election – Ballots: Prop. 218 (Assessment Districts)	Administration	Property related fees (Assessment Ballot proceeding)	CA. Const. art. XIII	Permanent

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Election – Canvass	Administration	Notifications and Publication of Election Records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results special election results	EC 17304	Election date + 6 months
Election – Certificates of Election	Administration	Certificates of election; original reports and statements	GC 81009(a), (d)	Termination of employment + 4 years
Election – Election Official’s Package of Documents	Administration	Package of 2 tally sheets, copy of index, challenge lists, assisted voters list. Public record – all voters may inspect after commencement of official canvass of voters	EC 17304	Election date + 6 months
Election – Nomination Documents: Successful	Administration	All nomination documents and signatures in lieu of filing petitions	EC 17100	Election date + 4 years
Election – Nomination Documents: Unsuccessful	Administration		GC 81009(b)	Election date + 2 years
Election – Petitions: Initiative/Recall/ Ref. Charter Amendments	Administration	Not a public record – documents resulting in an election – retention is from election certification	EC 17200, 17400 GC 6253.5 EC 17400 GC 34458-60	Election or filing date + 8 months
Election – Petitions: No election	Administration	Not a public record. Not resulting in an election. Retention is from final examination.	EC 17200, 17400 GC 6253.5	Final examination by elections official + 8 months

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Election – Precinct Records	Administration	From date of election: Precinct official material; declaration of intention; precinct board member applications; orders appointing members of precinct boards and designating polling places includes notice of appointment of office and record of service	EC 17503	Election date + 6 months
Election – Roster of Voters	Administration	From date of election; initiative; referendum recall; general municipal election; Charter Amendments	EC 17300	Election date + 5 years
Election – Voter Affidavits	Administration	Affidavits of registration (including cancelled affidavits); voter registration index	EC 17000	Closed/ Completed + 5 years
Election – Voter Registration Signature Copy	Administration	Fire, special or school district	EC 17000	5 years
Employee – Bonds	Administration	Personnel fidelity bonds	GC 34090	Termination of employment + 2 years
Employee – Files	Administration	Personnel Records – not a public record	GC 12946 GC 6254(c)	Termination of employment + 2 years
Employee Information – Salary Records	Administration	Rate of pay, weekly compensation earned, deduction authorization, beneficiary designations	GC 34090 29 CFR 516.2	Termination of employment+ 3 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Employee Information – CEIR	Administration	Personnel – California Employer Information Report (for employers of 100 or more employees)	2 CCR 11013(c)	Date created or date of personnel action involved, whichever is later + 2 years
Employee Information – Applicant Identification Records	Administration	Personnel – Data regarding race, sex, national origin of applicants	2 CCR 11013	2 years
Employee – Medical Files	Administration	Part of Personnel file – not a public record. Includes medical records; exposure records, etc. (Employees of less than 1 year, only retain medical records if they are not returned to employee upon termination)	29 CFR 1910.1020 8 CCR 3204 GC 6254(c)	Termination of employment + 30 years
Employee – Non-safety	Administration	Non-safety employee records may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations, disciplinary actions; terminations; Oaths of Office; evaluations, pre-employee medicals; fingerprints; identifications cards (ID's)	29 CFR 1627.3 29 CFR 1602.30.32 GC 6250 GC 12946 GC 34090	Termination of employment + 3 years
Employee – Programs	Administration	Includes EAP and Recognition	GC 34090 GC 12946	2 years

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Employee – Recruitment	Administration	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	GC 12946 GC 6250 et seq. 29 CFR 1602 et seq. 29 CFR 1607 29 CFR 1627.3	2 years
Employee – Reports	Administration	Employee statistics, benefit activity, liability loss	GC 34090	2 years
Employee – Safety	Administration	Police, fire, emergency employees may include: Release authorizations; certifications; reassignments; outside employment; commendations; disciplinary actions; terminations; Oaths of Office; evaluations, pre-employee medicals	29 CFR 1627.3 29 CFR 1607.4 GC 34090 GC 12946	Termination of employment+ 5 years
Employee Rights – General	Administration	May include Arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions	GC 12946 29 CFR 1602 29 USC 203(m) 29 USC 207(g) 29 USC 211(e)	Termination of employment + 2 years
Employee Rights – Safety	Administration	May include Arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions	GC 12946 29 CFR 1602 29 USC 203(m) 29 USC 207(g) 29 USC 211(e)	Termination of employment + 5 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Employment – Applications	Administration	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	GC 6250 et seq. GC 12946 29 CFR 1602 et seq. 29 CFR 1607 29 CFR 1627.3	3 years
Employment – Eligibility Verification (I-9 Forms)	Administration	Federal Immigration and Nationality Act; Immigration Reform/Control Act 1986	8 USC 1324a (b)(3) Pub. Law 99-603	Termination of employment + 3 years after date of hire, or 1 year after date of termination, whichever is later
Employment – Surveys and Studies	Administration	Includes classification, wage rates	GC 12946 GC 34090 29 CFR 516.6(2) 29 CFR 1602.14	2 years
Employment – Training Records, Non-Safety	Administration	Volunteer program training, class training materials, internships	GC 6250 et seq.	7 years
Employment – Personnel (by name)	Administration	Paperwork documenting internal and external training	GC 34090 GC 12946	Termination of employment + 7 years
Employment – Public Safety	Administration	Certifications/designations	GC 34090 GC 12946	2 years
Employment – Vehicle Mileage Reimbursement Rates	Administration	Annual mileage reimbursement rates	GC 34090	Until superseded + 2 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Environmental Quality – Air Quality Management District (AQMD)	Development	Participants/voucher logs, Total Daily Mileage Survey (TDM); various local authorities; Commute Alternative	CCP 338(k) GC 34090	7 years
Environmental Quality – Asbestos	Development	Documents, abatement projects, public buildings	GC 34090(a)	Permanent
Environmental Quality – California Environmental Quality Act (CEQA)	Development	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statement of overriding considerations	GC 34090(a) CEQA Guidelines	Permanent
Environmental Quality – Congestion Management	Development	Ridesharing, trip management	GC 34090(d)	2 years
Environmental Quality – Environmental Review	Development	Correspondence, consultants, issues, conservation	GC 34090(d)	Completed + 2 years
Environmental Quality – Pest Control	Development	Pesticide applications, inspections and sampling documents	GC 34090(d)	2 years
Environmental Quality – Soil	Development	Analysis, construction recommendations	GC 34090(d)	Completed + 2 years
Environmental Quality – Soil Reports	Development	Final Reports	GC 34090(d)	Permanent
ERISA Reports	Administration	Employee Retirement Income Security Act of 1974 – plan reports, certified information filed	29 USC 1027	6 years after file date
ERISA Records	Administration	Employee Retirement Income Security Act of 1974 – records of benefits due	29 USC 1059	Permanent

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Ethics Training Records (AB 1234; effective 1/1/06)	Administration	Records required to be kept under Gov. Code section 53232.2 (effective 1/1/06). Records must show dates that local officials satisfied the training requirements and the entity that provided the training	GC 53235.2	Completed + 5 years
Family and Medical Leave Act (Federal)	Administration	Records of leave taken, District policies relating to leave, notices, communications relating to taking leave	29 CFR 825.500 GC 12946	Termination of employment + 3 years
Federal Tax Records	Finance	May include Forms 1096, 1099, W-4 and W-2	29 USC 436	Until audited + 4 years
Financial Audit Records	Finance	Internal/external and audit documentation and analysis	GC 34090	Until audited + 7 years
Fire Protection District Administration	Public Safety	Administrative documents	GC 34090	2 years
Fire Safety Administration	Public Safety	General orders, policies & procedures	GC 34090	Until superseded + 2 years
Fixed Assets Inventory	Finance	Reflects purchase date, cost, account number	GC 34090	Until audited + 4 years
Fixed Assets –Surplus Property: Auction	Finance	Listing of property	GC 34090	Until audited + 2 years
Fixed Assets –Surplus Property: Disposal	Finance	Sealed bid sales of equipment	GC 34090 CCP 337	Until audited + 4 years
Fixed Assets –Vehicle Ownership & Title	Finance	Title transfers when vehicle is sold	VC 9900 et seq.	Until sold
Forms	Administration	Administrative – blank		Until superseded
Fund Transfers	Finance	Internal; bank transfers & wires	GC 34090	Until audited + 2 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
General Ledgers	Finance	All annual financial summaries – all agencies	GC 34090 CCP 337	Permanent
Gifts/Bequests	Finance	Receipts or other documentation	GC 34090	Until completed + 2 years
Grants – Community Development Block Grant (CDBG); Urban Development; other Federal and State Grants	Developments	Grants documents and all supporting documents; applications, reports, contracts, project files, proposals, statements, sub- recipient docket, environmental review, grant documents, inventory, consolidated plan, etc.	GC 34090 24 CFR 570.502 24 CFR 85.42	Termination + 4 years
Hazardous Materials – Hazardous Waste Disposal	Public Safety	Documents regarding handling and disposal of hazardous waste [Permanent retention of environmentally sensitive materials is recommended]	CAL OSHA 40 CFR 122.21	10 years
Hazardous Material – Permits, Hazardous Materials Storage	Public Safety	[Permanent retention of environmentally sensitive materials is recommended]	GC 34090	2 years
Hazardous Materials – Exposure Records, etc.	Public Safety	Employee exposure records; name/identity of chemical substance used; when and where chemical substance was used	87 CCR 3204(d) et seq.	30 years
Hazardous Materials – Underground Storage Tank	Public Safety	Compliance; Documents regarding storage, location, installation, removal, remediation	GC 34090	Permanent
Information Services, Internet/World Wide Web	Administration	Management policies and supporting documentation	GC 34090	Until superseded + 2 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Information Systems – Inventory	Administration	Hardware/software inventory logs; systems manuals	GC 34090	Until superseded + 2 years
Information Systems – Network Information Systems (LAN/WAN)	Administration	Configuration maps and plans	GC 34090 CCP 337.2 CCP 343	2 years
Information Systems – Program Files and Directories	Administration		GC 34090 GC 34090.7	2 months (daily backup) 6 months (weekly backup) 1 year (monthly backup) 2 years (annual backup)
Information Systems –Tapes	Administration	System generation	GC 34090	2 years
Insurance	Finance	Personnel related	GC 34090	Current + 2 years
Insurance – Joint Powers Agreement	Finance	Accreditation, MOU, agreements and agendas	GC 34090	Permanent
Insurance – Certificates	Finance	Liability, performance bonds, employee bonds, property: Insurance certificates filed separately from contracts, includes insurance filed by licensees	GC 34090	Permanent
Insurance – Liability/Property	Finance	May include liability, property, Certificates of Participation, deferred, use of facilities	GC 34090	Permanent
Insurance – Risk Management Reports	Finance	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	29 CFR 1904.4 GC 34090	5 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Investment Reports – Transactions	Finance	Summary of transactions, inventory and earnings report	GC 34090 GC 53607 CCP 337	Permanent
Invoices	Finance	Copies sent for fees owed, billing, related documents	GC 34090	Until audited + 2 years
Legal Notices/Affidavits of Publication	Administration		CCP 343 CCP 349 et seq. GC 911.2 GC 34090	4 years
Legal Opinions	Administration	Confidential – not for public disclosure (attorney-client privilege)	GC 34090	Until issue is resolved + 1 year
Litigation	Administration	Case files	GC 34090	Until settled or adjudicated + 2 years
Maintenance Manuals	Administration	Equipment service/maintenance	GC 34090	Until superseded
Maintenance/Repair Records	Administration	Equipment	GC 34090	2 years
Marketing, Promotional	Administration	Brochures, announcements, etc.	GC 34090	7 years – external 2 years – internal
Meter Operations	Public Works	Reader reports; orders; tests; maintenance reports	GC 34090	2 years
Meter Reading	Public Works	Reports and rebate reports	GC 34090	2 years
Minutes	Administration	Minutes of District Board meeting. Documents are to be imaged immediately. Paper records are to be maintained permanently by the Board	GC 34090(d) GC 36814 GC 40801	Permanent
Newsletter, District	Administration	May wish to retain permanently for historic reference.	GC 34090	Until superseded + 2 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Notices – Public Meetings	Administration	Special Meetings	GC 34090.7 GC 54960.1(c)(1)	2 years
Oaths of Office	Administration	Elected and public officials – Board Members	GC 34090 29 USC 1113	Termination of employment + 6 years
OSHA	Administration	OSHA Log 200, Supplementary Record, Annual Summary (Federal & State – Cal-OSHA)	LC 6410 8 CCR 14307 29 CFR 1904.2-1904.6	5 years
OSHA (Accident/Illness Reports)	Administration	Personnel – Employee Exposure Records & Employee Medical Records. Not a public record	LC 6410 8 CCR 14307 8 CCR 3204 GC 6254(c)	Duration of employment + 30 years
Payroll – Federal/State Reports	Finance	Annual W-2s, W-4s, Form 1099s, etc.; quarterly and year-end report	GC 34090 26 CFR 16001-1	Until audited + 4 years
Payroll Deduction/Authorizations	Finance	Finance	GC 34090 29 CFR 516.2	Termination of employment + 3 years
Payroll – Registers	Finance	Finance, payroll records, and time sheets	29 CFR 516.5(a) LC 1174(d) GC 60201	7 years
Payroll records – Terminated Employees	Finance	Finance files	29 CFR 516.2 GC 34090	Termination of employment + 3 years
Payroll – Time cards/sheets	Finance	Employee	GC 34090 29 CFR 516.2	Until audited + 6 years

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Payroll – Wage Rates/Job Classifications	Finance	Employee records	GC 34090 GC 12946 29 CFR 516.6(2) 29 CFR 1602.4	Permanent
PERS – Employee Benefits	Administration	Retirement Plan	GC 34090	Termination of employment + 4 years
Personnel Records (copies)	Administration	Other records (not payroll) containing name, address, date of birth, occupation, etc., including records relating to promotion, demotion, transfer, lay-off, termination	GC 34090	2 years
Personnel Rules and Regulations	Administration	Including employee handbook	GC 34090	Until superseded + 2 years
Petitions	Administration	Submitted to legislative bodies	GC 50115 GC 6253	1 year
Policies – Administrative	Administration	All policies and procedures, directives rendered by the District not assigned a resolution number	GC 34090 GC 40801	2 years
Policies – District Board	Administration	Original policies adopted by the District Board	GC 34090	2 years
Political Support/Opposition Requests & Responses	Administration	Related to legislation	GC 34090	2 years
Press Releases	Administration	Related to District actions/activities	GC 34090	2 years
Procedure Manuals	Administration	Administrative	GC 34090	2 years
Property – Abandonment	Development	Buildings, condemnation, demolition	GC 34090(a)	Permanent

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Property – Acquisition/Disposition	Development	District owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by District	GC 34090(a) GC 6254	10 years
Public Feedback	Administration	General correspondence	GC 34090	2 years
Public Records Request	Administration	Request from the public to inspect or copy public documents	GC 34090	2 years
Purchasing – RFQs, RFPs	Finance	Requests for Qualifications; Requests for Proposals regarding goods and services	GC 34090	Current + 2 years
Purchasing – Requisitions, Purchase Orders	Finance	Original Documents	GC 34090 CCP 337	Until audited + 5 years
Recordings – Audiotaped	Administration	Taped recordings of Board meeting – for preparation of Board meeting minutes	GC 34090.7	Date recorded + 90 days
Recordings – Routine Audio, Telephone, and Radio Communications	Public Safety	Routine daily taping/recording of audio, telephone communications, & radio communications; building security systems	GC 34090.6	Date recorded+ 100 days; Recordings used as evidence in a criminal prosecution/ claim filed/ litigation or potential claims and litigation, shall be preserved for 100 days after conclusion of the court action
Recordings – Videotaped: meeting of legislative bodies	Administration	Tapes of public meeting made by or at the direction of the District (e.g., Board meetings)	GC 54953.5(b)	30 days

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Recordings – Videotaped	Administration	Routine video monitoring, other than videotapes of public meetings	GC 34090.6	90 days
Records Management – Disposition Certification	Administration	Documentation of final disposition of records	GC 34090	Permanent
Records Retention Schedules	Administration		CCP 343	Until superseded + 4 years
Recruitments and Selection	Administration	Records relating to hiring, promotion, selection for training	29 CFR 1627.3	3 years
Resolutions	Administration	Vital records – originals may never be destroyed. Image immediately.	GC 34090(d) GC 40801	Permanent
Returned Checks	Finance	Finance-NSF (not District checks)	GC 34090 CCP 337	Until audited + 5
Salary Surveys	Finance	Surveys of other agencies	GC 34090 GC 12946 29 CFR 516.6(2) 29 CFR 1602.14	2 years
State Controller	Finance	Annual reports	GC 34090	Permanent (State Controller may destroy after 5 years)
State Tax Records	Finance	Filed annually; quarterly	GC 34090	Until audited + 4 years
Stop Payments	Finance	Finance – bank statements	FC 30210 GC 43900 et seq.	Until audited + 2 years
Taxes, Special	Finance	Special tax levied by a local agency on a per parcel basis	GC 34090(d)	Permanent

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Underground Utility – supporting documents	Public Works	Supporting documents for improvements, lighting – bonds, taxes construction	GC 34090	Permanent
Unemployment Insurance Records	Finance		IRC 3301-3311	4 years
Utility Services – Applications	Public Works	Applications for utility connections, disconnects, registers, services	GC 34090	Completion + 2 years
Utility Services – Billing Records	Public Works	Customer name, service address, meter reading, usage, payments, applications/cancellations	GC 34090	Until audited + 2 years
Utility Services – Journals, Utility Billing	Public Works	Billing including monthly activity	GC 34090	2 years
Utility Services – Meter Reading; Reports	Public Works		GC 34090	2 years
Utility Services – Utility Rebates, Reports	Public Works		GC 34090	2 years
Vouchers – Payments	Finance	Account postings with supporting documents	GC 34090 CCP 337	Until audited + 4 years
Warrant Register/Check Register	Finance	Record of checks issued; approved by legislative body (copy is normally retained as part of agenda packet information)	GC 34090	Until audited + 4 years
Water Quality – Chemical	Public Health & Safety	Records of chemical analyses	22 CCR 64470	10 years
Water Quality – Lead and Copper	Public Health & Safety	Records of sampling data and analyses, reports, surveys, letters, evaluations, schedules, District determinations regarding lead and copper in water systems	22 CCR 64690.80	12 years

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Type of Record	Record Category	Description or Example of Record	Legal Authority	Current Legal Retention Period*
Water Quality – Microbiological	Public Health & Safety	Records of microbiological and turbidity analyses	22 CCR 64470	5 years
Workers Compensation Files	Finance	Work-injury claims (including denied claims); claim files, reports, etc.	8 CCR 15400.2 LC 110-139.6	Permanent